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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<b>Applicant:</b>	Fox et al.	<b>Conf. No.:</b>	5935
<b>Serial No.:</b>	09/409,831	<b>Art Unit:</b>	3629
<b>Filing Date:</b>	09/30/1999	<b>Examiner:</b>	Borissov, Igor N.
<b>Title:</b>	INVOICE PROCESSING SYSTEM	<b>Docket No.:</b>	EN999063 (IBME-0075)

Mail Stop Appeal Brief- Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**BRIEF OF APPELLANTS**

This is an appeal from the Final Rejection dated April 13, 2004, rejecting claims 10-15, 17-21, 23, 24, 26, 27 and 29. This Brief is accompanied by the requisite fee set forth in 37 C.F.R. 1.17 (c).

**REAL PARTY IN INTEREST**

International Business Machines Corporation is the real party in interest.

**RELATED APPEALS AND INTERFERENCES**

There are no related appeals or interferences.

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## **STATUS OF CLAIMS**

As filed, this case included claims 1-9. Claims 10-29 have been added. Claims 10-15, 17-21, 23, 24, 26, 27 and 29 remain pending. Claims 10-15, 17-21, 23, 24, 26, 27 and 29 stand rejected and form the basis of this appeal.

## **STATUS OF AMENDMENTS**

Appellant filed an After-Final Response on June 14, 2004. An Advisory Action stating that the Response was considered but did not place the application in condition for allowance was mailed on July 16, 2004.

## **SUMMARY OF THE INVENTION**

The invention relates to an invoice processing system and method that will allow for the matching of unmatched invoices with new good received receipts. The invention includes providing one or more unmatched invoices, periodically inquiring to determine if a new goods received receipt (GRR) is present in a database tool, performing a logical three-way match between the GRR and each of the unmatched invoices, wherein the logical three-way match includes: comparing a GRR number on the unmatched invoice with a GRR number on the GRR; comparing a unit price on the unmatched invoice with a unit price on the GRR; comparing a quantity on the unmatched invoice with a quantity on the GRR; finding a match if one of the following is true: (1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; (2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; (3) no match was found for (1) and (2), and the unit prices

match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and (4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice; generating a logical result of each logical three-way match; and transferring a matched invoice and a corresponding logical three-way match to the database tool.

### **ISSUES**

1. Whether claims 10-15, 17-21, 23, 24, 26, 27 and 29 are unpatentable under 35 U.S.C. 103(a) over Moriyama (U.S. Patent No. 4,851,999), hereafter Moriyama, in view of publication Three Way Match Requirement for All Procurement Component Payment by Minnesota Departments of Finance and Administration, hereafter “Procurement Procedure Publication.”

### **GROUPING OF CLAIMS**

Claims 10-15, 17-21, 23, 24, 26, 27 and 29 stand or fall together.

### **ARGUMENT**

Appellant submits that claims 10-15, 17-21, 23, 24, 26, 27 and 29 are allowable and respectfully requests reversal of the Final rejection. Claims 10-15, 17-21, 23, 24, 26, 27 and 29 stand rejected under 35 U.S.C. 103(a) over Moriyama (U.S. Patent No. 4,851,999), hereafter Moriyama, in view of publication Three Way Match Requirement for All Procurement Component Payment by Minnesota Departments of Finance and Administration, hereafter “Procurement Procedure Publication.”

To establish a *prima facie* case of obviousness, three basic criteria must be met. First,

there must be some suggestion or motivation, either in the references themselves or in the knowledge generally available to one of ordinary skill in the art, to modify the reference or to combine reference teachings. Second, there must be a reasonable expectation of success. Finally, the prior art reference (or references when combined) must teach or suggest all the claim limitations. Appellant respectfully submits that there is no suggestion or motivation to combine Moriyama and Procurement Procedure Publication in the references themselves or in the art. Furthermore, Appellant respectfully submits that the references, taken alone or in combination, fail to meet each of the three basic criteria required to establish a *prima facie* case of obviousness. As such, the rejection under 35 U.S.C. 103(a) is defective.

In the above referenced Final Office Action, the Examiner alleges that there is motivation to combine the references because both references relate to financial and inventory management system and the three way match requirement procedure of Procurement Procedure Publication would enhance the performance of the Moriyama system. The Office's argument is flawed because in addition to the fact, admitted by the Office, that Moriyama does not specifically teach a logical three way match, Moriyama does not have any procedure to match orphan records. First, the Moriyama general purpose management system does not provide one or more unmatched invoices as stated by the Office. The Office erroneously attempts to equate the one or more unmatched invoice as provided in the present invention with what the Office refers to as a transactional file in Moriyama, using the following passage:

The data base stored on the hard disc are master files and a data files. The master files include an item master, commodity master, outside order receiver master, construction master, construction location master, supervisor master, department master, docket master, supplier master and personnel master files. The data files include a journalized daybook, financial file (especially an accumulation of journalized daybooks), a construction-related file, a labor particulars file and an inventory file. Moriyama, col. 3, lines 42-51.

Nowhere in the above section does Moriyama provide anything equivalent to the one or more unmatched invoices as provided in the present invention. Furthermore, the above selection does not mention that any element of the Moriyama database is without a match. Logically then, since the Moriyama database has no orphaned files, there is no justification for the Moriyama system to attempt to perform a match. This logic is borne out in the fact that there is no mention anywhere in Moriyama of matching a new goods received receipt (GRR) with an unmatched invoice. The Office erroneously attempts to equate what it calls the logical operations in Moriyama with the step of matching a new GRR with an unmatched invoice as found in the present invention. However, the quoted sections upon which the Office relies, teach a CPU, a hard disk, a program, a data base, master files, data files, a process for inputting data relating to the receipt of materials or commodities, and the input of data for a transfer slip. See Moriyama, col. 3, lines 40-47; col. 7, lines 16-18, 56-68. Nowhere in the text quoted by the Office does Moriyama mention anything resembling the process of matching one record with another. To this extent, even if the three way match in the Procurement Procedure Publication teaches what the Office asserts, one of ordinary skill in the art would not have any suggestion or motivation for combining the teachings of Moriyama with the Procurement Procedure Publication because there is no justification in Moriyama for matching an orphan record with a matching record.

In the above referenced Final Office Action, the Examiner further alleges that Moriyama teaches providing one or more unmatched invoices, periodically inquiring to determine if a new goods receipt invoice is present and performing logical operations. To support these assertions, the Office points to column 3, lines 30-51 of Moriyama. However, as stated above, this section of Moriyama does not teach such features but instead teaches a CPU, keyboard, CRT, printer, hard disc, general purpose management program and a database having master and data files.

Nowhere in the cited text are unmatched invoices or inquiries to determine the presence of a new goods receipt invoice mentioned.

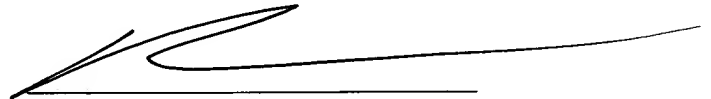
In the above referenced Final Office Action, the Examiner still further alleges that the cited references disclose a three way match as included in the present invention. The Office erroneously equates the three way match in the Procurement Procedure Publication with the three way match as included in the present invention. The Procurement Procedure Publication three way match is a method to ensure that the three documents that form the basis of the procurement process have been received and are correct, namely: the purchase order, the receipt of goods or services and the vendor's invoice. See Procurement Procedure Publication, paragraph 1; see also Expenditure Accounting and CFMS Payments Training, (hereafter "Training Manual) [www.finance.state.mn.us/agencyapps/training/maps/ap740.pdf](http://www.finance.state.mn.us/agencyapps/training/maps/ap740.pdf), page 79, Overview of the Three-Way-Match Payment Process section attached hereto in Exhibit "A." To accomplish this, the Procurement Procedure Publication specifies that the user must: a) create a requisition or enter an order into the MAPS procurement component, generating an order number; b) enter the receipt information into the MAPS system, using the order number, when the goods are received; and c) enter the information from the vendor's invoice into the MAPS system, using the order number, after the invoice has been received from the vendor. See Procurement Procedure Publication, procedure section, steps 1, 3, and 4. The MAPS system in the Procurement Procedure Publication provides a feature that allows the information from steps 3 and 4 to be entered simultaneously in an all-in-one invoice processing step if they arrive at the same time. See Procurement Procedure Publication, procedure section, step 5. Thus, the three way match in the Procurement Procedure Publication allows the MAPS system to match the three required documents based on one field, the order number. Training Manual, page 79, final

paragraph. However, if there is no order number, the three way match process cannot be accomplished. Id. Conversely, the three way match as found in the present invention compares three fields: the GRR number, the unit price, and the quantity, from two document types: the GRR and each of the unmatched invoices. Furthermore, the three way match as found in the present invention compares the three fields in such a way that if one or more of the fields, e.g. the GRR number, do not match, the match can still be made using the remaining fields. Thus, the Procurement Procedure Publication three way match depending on one field to match three document types is not equivalent to the comparison of GRR number, unit price, and quantity fields of the GRR and unmatched invoice documents in such a manner that if no match is found for one or more of the fields, the match can still be made using the remaining fields in the three way match system as found in the present invention.

In the above referenced Final Office Action, the Examiner still further alleges that the cited references teach the transfer of a matched invoice (i.e., matched based on the claimed three-way match process) and its corresponding logical result to the database tool. In an attempt to show these features, the Office has again referred to column 3, lines 40-47 of Moriyama. However, similar to the other alleged teachings, Appellant have failed to find this claimed feature in Moriyama or Procurement Procedure Publication.

In summary, Appellant submits that claims 10-15, 17-21, 23, 24, 26, 27 and 29 are allowable because Moriyama and Procurement Procedure Publication, taken alone or in combination, fail to meet each of the three basic criteria required to establish a *prima facie* case of obviousness.

Respectfully submitted,



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## APPENDIX

### Claim Listing:

10. A method of processing invoices, the method comprising the steps of:
  - providing one or more unmatched invoices;
  - periodically inquiring to determine if a new goods received receipt (GRR) is present in a database tool;
  - performing a logical three-way match between the GRR and each of the unmatched invoices, wherein the logical three-way match includes:
    - comparing a GRR number on the unmatched invoice with a GRR number on the GRR;
    - comparing a unit price on the unmatched invoice with a unit price on the GRR;
    - comparing a quantity on the unmatched invoice with a quantity on the GRR;
    - finding a match if one of the following is true:
      - (1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;
      - (2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;
      - (3) no match was found for (1) and (2), and the unit prices match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and
      - (4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice;
  - generating a logical result of each logical three-way match; and
  - transferring a matched invoice and a corresponding logical three-way match to the database tool.
11. The method of claim 10, further comprising removing an unmatched invoice after a predetermined period of time.
12. The method of claim 10, further comprising:
  - storing one or more unmatched invoices in a computer memory; and
  - storing each GRR in a database.
13. The method of claim 12, further comprising storing purchase orders in the database.
14. The method of claim 10, further comprising entering an unmatched invoice into a computer memory using an invoice processing tool.

15. An invoice processing system, comprising:  
entry means for entering and storage means for storing one or more unmatched invoices;  
a database tool having one or more goods received receipts stored in a database; and  
matching tool means coupled to said entry means and said database tool for:  
periodically inquiring to determine if a new goods received receipt (GRR) is present;  
performing a logical three-way match between the GRR and each of the one or more unmatched invoices, wherein the logical three-way match includes:  
comparing a GRR number on the unmatched invoice with a GRR number on the GRR;  
comparing a unit price on the unmatched invoice with a unit price on the GRR;  
comparing a quantity on the unmatched invoice with a quantity on the GRR; and  
finding a match if one of the following is true:  
(1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;  
(2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;  
(3) no match was found for (1) and (2), and the unit prices match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and  
(4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice;  
generating a logical result of each logical three-way match; and  
transferring a matched invoice and a corresponding logical three-way match to the database tool.
17. The system of claim 15, wherein the entry means comprises means for electronic entry.
18. The system of claim 17, wherein the entry means further comprises means for electronic entry via EDI 850 protocol.
19. The system of claim 15, wherein the database tool is SAP.
20. The system of claim 15, where the database tool further has one or more purchase orders.

21. A data processing apparatus for processing invoices, said apparatus comprising;  
means for entering and means for storing one or more unmatched invoices in an invoice processing tool;  
means for providing a database tool having one or more goods received receipts stored in a database;  
means for periodically inquiring to determine if a new goods received receipt (GRR) is present;  
means for performing a logical three-way match between the GRR and each of the one or more unmatched invoices, wherein the logical three-way match includes:  
comparing a GRR number on the unmatched invoice with a GRR number on the GRR;  
comparing a unit price on the unmatched invoice with a unit price on the GRR;  
comparing a quantity on the unmatched invoice with a quantity on the GRR; and  
finding a match if one of the following is true:  
(1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;  
(2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;  
(3) no match was found for (1) and (2), and the unit prices match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and  
(4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice;  
means for generating a logical result of each logical three-way match; and  
means for transferring a matched invoice and a corresponding logical three-way match to the database tool.

23. The apparatus of claim 21, wherein the database tool further has one or more purchase orders.

24. A computer program product for processing invoices, said computer program product comprising;

- a computer readable medium;
- program code for entering and means for storing one or more unmatched invoices in an invoice processing tool;
- program code for providing a database tool having one or more goods received receipts stored in a database;
- program code for periodically inquiring to determine if a new goods received receipt (GRR) is present;
- program code for performing a logical three-way match between the GRR and each of the one or more unmatched invoices, wherein the logical three-way match includes:
  - comparing a GRR number on the unmatched invoice with a GRR number on the GRR;
  - comparing a unit price on the unmatched invoice with a unit price on the GRR;
  - comparing a quantity on the unmatched invoice with a quantity on the GRR; and
  - finding a match if one of the following is true:
    - (1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;
    - (2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;
    - (3) no match was found for (1) and (2), and the unit prices match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and
    - (4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice;
- program code for generating a logical result of each logical three-way match; and
- program code for transferring a matched invoice and a corresponding logical result to the database tool.

26. The computer program product of claim 24, further comprising program code for storing purchase orders in the database.

27. Computer executable process steps operative to control a computer, stored on a computer readable medium, for processing invoices, comprising;

a step to periodically inquire to determine if a new goods received receipt (GRR) is present;

a step to perform a logical three-way match between the GRR and an unmatched invoice, wherein the logical three-way match includes:

a step to compare a GRR number on the unmatched invoice with a GRR number on the GRR;

a step to compare a unit price on the unmatched invoice with a unit price on the GRR;

a step to compare a quantity on the unmatched invoice with a quantity on the GRR;

a step to obtain a logical match result if one of the following is true:

(1) the GRR numbers match, the unit prices match, and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;

(2) no match was found for (1), and the GRR numbers match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice;

(3) no match was found for (1) and (2), and the unit prices match and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice; and

(4) no match was found for (1), (2) and (3), and the quantity on the GRR is greater than or equal to the quantity on the unmatched invoice and the unmatched invoice is the oldest unmatched invoice;

a step to generate a logical result of each logical three-way match; and

a step to transfer a matched invoice and a corresponding logical result to the database

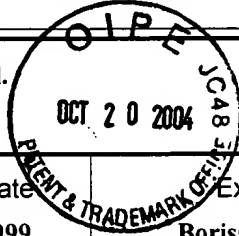
tool.

29. The computer executable process steps of claim 27, further comprising a step to store purchase orders in the database.

# TRANSMITTAL OF APPEAL BRIEF (Large Entity)

Docket No.  
EN999063

In Re Application Of: Fox et al.



Application No.  
09/409,831

Filing Date  
09/30/1999

Examiner  
Borissov, Igor N.

Customer No.  
23550

Group Art Unit  
3629

Confirmation No.  
5935

Invention: INVOICE PROCESSING SYSTEM

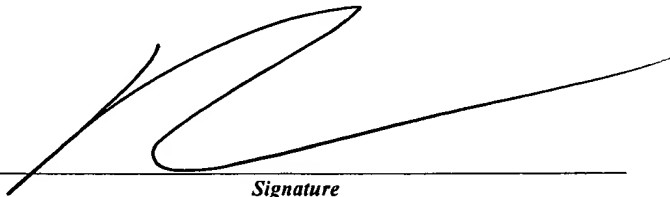
## COMMISSIONER FOR PATENTS:

Transmitted herewith in triplicate is the Appeal Brief in this application, with respect to the Notice of Appeal filed on August 16, 2004

The fee for filing this Appeal Brief is: \$340.00

- ☐ A check in the amount of the fee is enclosed.
- ☒ The Director has already been authorized to charge fees in this application to a Deposit Account.
- ☒ The Director is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 09-0457 (IBM)
- ☐ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

  
Signature

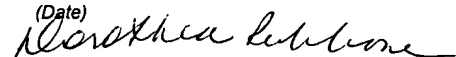
Dated: October 18, 2004

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on

October 18, 2004

(Date)



Signature of Person Mailing Correspondence

Dorothea Rubbone

Typed or Printed Name of Person Mailing Correspondence

cc: